



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/996,836	11/29/2001	Keiji Matsumoto	YOR920000819US2

RMT
IBM CORPORATION
INTELLECTUAL PROPERTY LAW DEPT.
P.O. BOX 218
YORKTOWN HEIGHTS, NY 10598



CONFIRMATION NO. 2578

FORMALITIES LETTER



Date Mailed: 12/14/2001

Due 2/14/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
 - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.
 - more than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.) (see 37 CFR 1.84(u)(1));

*A copy of this notice **MUST** be returned with the reply.*

APR 08 '02 15:43 FR

TO 917037464060

P.10

Page 2 of 2

MTS
Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART I - ATTORNEY/APPLICANT COPY



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS
 Washington, D.C. 20231
 www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/996,836	11/29/2001	Matsumoto, Keiji	YOR920000819US2

IBM CORPORATION *Rmt*
 INTELLECTUAL PROPERTY LAW DEPT.
 P.O. BOX 218
 YORKTOWN HEIGHTS NY 10598

Title: Three level stacked reflective display



DUE 4/8/02

2002 MAR 25 AM 9:53
 YORKTOWN
 IBM
 INTELLECTUAL PROPERTY
 LAW DEPT.
 Date Mailed 03/28/2002

Request for Substitute Papers

The papers filed on 02/27/02 (certificate of mailing dated 02/13/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

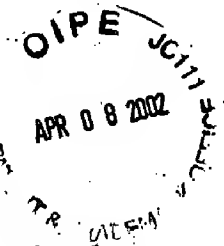
The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: Gail H. Zarick Registration No.: 43,303

Signature: Gail H. Zarick Date: 4/8/02



Response to Notice to File Missing Parts of Nonprovisional
Patent Application - File Date Granted
Copy of Notice to File Missing Parts
Declaration and Power of Attorney
Assignment and Assignment Recordation Transmittal
PLEASE STAMP & RETURN TO US

In re application of: K. Matsumoto et al.

For: THREE LEVEL STACKED REFLECTIVE DISPLAY

Serial No 09/996,836; Docket No. YOR920000819U 2ty.: RMT

Received in the U.S. Patent & Trademark Office: _____

No. of pages of specification _____: No. of pages of claims _____

No. of sheets of drawings: _____

Declaration is attached to specification.

All fees are charged to our Account No. 09-0468

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

To: Commissioner for Patents
Initial Patent Examination Division
Box Missing Parts
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

1. Acknowledgment Post Card;
2. Filing of Missing Parts of Application Under 37 CFR 1.63
(in duplicate);
3. Declaration and Power of Attorney Form;
4. Notice to File Missing Parts of Application (return copy); and
5. Assignment to IBM with attached Recordation Form

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Initial Patent Examination Division
Box Missing Parts
Washington, DC 20231

on February 13, 2002

Lucille Fourgeot
(Print name of person certifying)

Lucille Fourgeot
(Signature of person certifying)

Docket YOR920000819US2

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of : Initial Patent Examination
: Division
K. Matsumoto et al. : Box Missing Parts
:
Serial No.: 09/996,836 : Date: February 13, 2002
Confirmation No. 2578 :
Filed: November 29, 2001 : Docket No.: YOR920000819US2

For: THREE LEVEL STACKED
REFLECTIVE DISPLAY

**FILING OF MISSING PARTS OF APPLICATION UNDER 37 CFR 1.63
FILING DECLARATION AND POWER OF ATTORNEY
FILING ASSIGNMENT**

To: Commissioner for Patents
Initial Patent Examination Division
Box Missing Parts
Washington, D.C. 20231

Sir:

On November 29, 2001, the above-identified application was filed with the U.S. Patent and Trademark Office, under Rule 1.53(f) Missing Parts.

Enclosed at this time is an original declaration, which includes the signatures of the five (5) inventors. This copy has been altered only to indicate the serial number and filing date of the subject application.

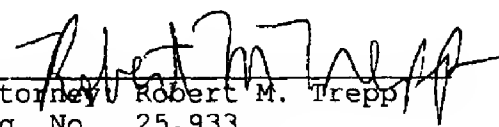
Also attached for filing is the original fully executed Assignment for the above-identified application with the required Recordation Form Cover Sheet.

The fee of \$170.00 representing both the Surcharge of \$130.00 and Assignment fee of \$40.00 is to be charged to Deposit Account No.: 09-0468. A duplicate copy of this paper is attached.

A copy of the "Notice to File Missing Parts of Application-Filing Date Granted", date mailed , is also attached as per your instructions.

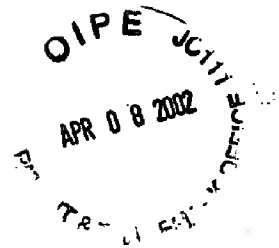
Respectfully submitted,
Attorney for the Applicants

by


Attorney Robert M. Trepp
Reg. No. 25,933
Tel. (914) 945-3147

IBM Thomas J. Watson Research Center
Intellectual Property Law Department
P.O. Box 218
Yorktown Heights, N.Y. 10598

Attorney Docket: YOR920000189US2



Response to Notice to File Missing Parts of Nonprovisional
Application
Copy of Notice to File Missing Parts
25 Sheets of Formal Drawings

PLEASE STAMP & RETURN TO US

In re application of: K. Matsumoto et al.

For: THREE LEVEL STACKED REFLECTIVE DISPLAY

Serial No 09/996,836; Docket No. YOR920000199US2 Atty.: RMT

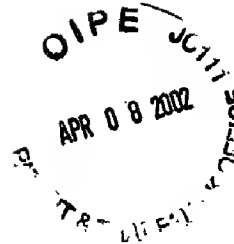
Received in the U.S. Patent & Trademark Office: _____

No. of pages of specification _____: No. of pages of claims _____

No. of sheets of drawings: 25

Declaration is attached to specification.

All fees are charged to our Account No. 09-0468



To: Assistant Commissioner for Patents
Initial Patent Examination Division
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

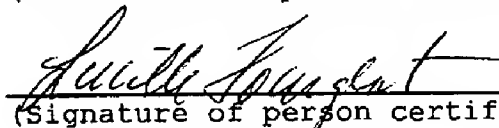
1. Acknowledgment Post Card;
2. Response to the Notice to File Corrected Application Papers;
3. Set of twenty five (25) Formal Drawings; and
4. Notice to File Corrected Application Papers (return copy)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Initial Patent Examination Division
Washington, DC 20231

on February 13, 2002

Lucille Fourgeot
(Print name of person certifying)


(Signature of person certifying)

Docket No.: YOR920000819US2

INTELLECTUAL PROPERTY LAW DEPARTMENT
Thomas J. Watson Research Center
Route 134/Kitchawan Road, P.O. Box 218
Yorktown Heights, New York 10598
Fax: (914) 945-3281 - T/L 862-3281

**IBM Corporation****FACSIMILE**DATE: Monday, April 08, 2002NO. OF PAGES TO FOLLOW: 42In re application of: K. Matsumoto et al.Serial No.: 09/996,836Filed: November 29, 2001

TO: Commissioner for Patents

NAME: USPTO Box Duplicate (OIPE)

ADDRESS: _____

PHONE NO. _____

FAX NO. (703) 746-4060

FROM:

NAME: Robert M. TreppPHONE NO. (914) 945-3147LOCATION: YorktownCONTACT #: Michelle Parra (914) 945-3209

CLASSIFICATION:

☐ IBM CONFIDENTIAL☐ IBM INTERNAL USE ONLY☐ PERSONAL☒ UNCLASSIFIEDMESSAGE: _____

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL MESSAGE TO US AT THE ADDRESS ABOVE VIA THE U.S. POSTAL SERVICE. THANK YOU.

PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of: Date: April 8, 2002

K. Matsumoto et al. : Group Art Unit: Unknown

Serial No.: 09/996,836 : Examiner: Unknown

Confirmation No. 2578

Filed: November 29, 2001 : Docket No.: YOR920000819US2

For: THREE LEVEL STACKED REFLECTIVE DISPLAY


Commissioner for Patents
Washington, D.C. 20231**CERTIFICATION OF TRANSMISSION
PURSUANT TO 37 CFR 1.8**

Dear Sir:

I hereby certify that the attached correspondence comprising:

1. Response to Request for Substitute Papers with the Request for Substitute Papers;
2. Copy of Response to Notice to File Missing Parts of Nonprovisional Patent Application (Formal Papers) as filed on February 13, 2002; and
3. Copy of Response to Notice to File Missing Parts of Nonprovisional Patent Application (25 sheets of Formal Drawings)

is being facsimile transmitted as provided under Rule CFR 1.6(d) to
the U.S. Patent and Trademark Office on April 8, 2002.



Michelle Parra



2002-04-08 15:40:00

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of : Date: April 8, 2002
K. Matsumoto et al. : Group Art Unit: Unknown
Serial No.: 09/996,836 : Examiner: Unknown
Confirmation No. 2578 :
Filed: November 29, 2001 : Docket No.: YOR920000819US2



For: THREE LEVEL STACKED REFLECTIVE DISPLAY

Response to Request for Substitute Papers

Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Request for Substitute Papers mailed March 20, 2002 under a Certificate of Mailing, there were two mailings on February 13, 2002 under two respective Certificates of Mailing. Enclosed is a copy of the two mailings except for the declaration which is missing from the file and can not be located. A copy of the request is attached.

I note that IBM did not have access to the file at the USPTO because it was not with the examiner under a Power to Inspect so I could not get a copy of the declaration.

Respectfully submitted,
Attorney for the Applicant(s)

by Robert M. Trepp
Robert M. Trepp
Registration No. 25,933

IBM Corporation
Intellectual Property Law Department
P. O. Box 218
Yorktown Heights, N. Y. 10598
Telephone No.: (914) 945-3147
Fax No.: (914) 945-3281

Docket No.: YOR920000819US2

Serial No.: 09/996,836

A
3**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: : Date: February 13, 2002
: :
K. Matsumoto et al. : :
: :
Serial No.: 09/996,836 : Group Art Unit:
Confirmation No.: 2578 : Examiner: Not yet assigned
: :
Filed: November 29, 2001 : Docket No.: YOR920000189US2

For: THREE LEVEL STACKED
REFLECTIVE DISPLAY

Assistant Commissioner for Patents
Initial Patent Examination Division
Washington, D.C. 20231

**Response to Notice to File Corrected Application Papers**

Sir:

In response to the Notice to File Corrected Application Papers, mailed December 14, 2001, for which the time to respond expires on February 14, 2002, enclosed herewith is a substitute set of twenty five (25) formal drawings for the above-identified application.

A copy of the "Notice to File Corrected Application Papers -Filing Date Granted" is attached as per your instructions.

Respectfully submitted,
Attorney for the Applicant(s)

by 
Robert M. Trepp
Registration No. 25,933

IBM Corporation
Intellectual Property Law Department
P. O. Box 218
Yorktown Heights, N. Y. 10598
Telephone No.: (914) 945-3147
Fax No.: (914) 945-3281

INTELLECTUAL PROPERTY LAW DEPARTMENT
Thomas J. Watson Research Center
Route 134/Kitchawan Road, P.O. Box 218
Yorktown Heights, New York 10598
Fax: (914) 945-3281 - T/L 862-3281

IBM Corporation

FACSIMILE

DATE: Wednesday, July 17, 2002

NO. OF PAGES TO FOLLOW: 7

In re application of: K. Matsumoto et al.

Serial No.: 09/996,836

Filed: November 29, 2001

TO: Commissioner for Patents

NAME: USPTO Box Duplicate (OIPE) Attention: John Dill

ADDRESS: _____

PHONE NO. (703) 306-3477

FAX NO. (703) 746-6606

FROM:

NAME: Robert M. Trepp

PHONE NO. (914) 945-3147

LOCATION: Yorktown

CONTACT #: Michelle Parra (914) 945-3209

CLASSIFICATION:

 IBM CONFIDENTIAL

 IBM INTERNAL USE ONLY

 PERSONAL

 X UNCLASSIFIED

MESSAGE: _____

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL MESSAGE TO US AT THE ADDRESS ABOVE VIA THE U.S. POSTAL SERVICE. THANK YOU.